

Docket No. 212425US99



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: GEORGE VALLIATH

SERIAL NO: 09 921,895

GAU: 2823

FILED: AUGUST 6, 2001

EXAMINER: COLEMAN, W.

FOR: STRUCTURE AND METHOD FOR FABRICATION FOR A LIGHTING DEVICE

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references were submitted in application Serial No. 09/908,888 according to the attached copy of a Granted Petition. This application contains related subject matter.
- ☒ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

05/09/2003 SZEWDIE1 00000055 09921895

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180.00 DP

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

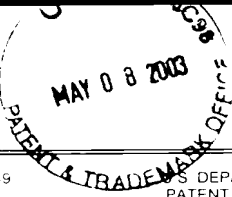


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Richard L. Treanor

Registration No. 36,379

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 03 02)

Form PTO 1449  
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## LIST OF REFERENCES CITED BY APPLICANT

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## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE     | NAME              | CLASS | SUB<br>CLASS | FILING DATE<br>IF APPROPRIATE |
|---------------------|----|--------------------|----------|-------------------|-------|--------------|-------------------------------|
|                     | UT | 5,528,209          | 06/18/96 | Macdonald et al.  |       |              |                               |
|                     | UV | 5,998,781          | 12/07/99 | Vawter et al.     |       |              |                               |
|                     | UW | 6,110,813          | 08/29/00 | Ota et al.        |       |              |                               |
|                     | UX | 6,452,232 B1       | 09/17/02 | Adan              |       |              |                               |
|                     | UY | 6,049,110          | 04/11/00 | Koh               |       |              |                               |
|                     | UZ | 5,559,368          | 09/24/96 | Hu et al.         |       |              |                               |
|                     | VA | 6,392,253 B1       | 05/21/02 | Saxena            |       |              |                               |
|                     | VB | 5,585,288          | 12/17/96 | Davis et al.      |       |              |                               |
|                     | VC | 5,269,327          | 12/07/93 | Vernon            |       |              |                               |
|                     | VD | 6,198,119 B1       | 03/06/01 | Nabatame et al.   |       |              |                               |
|                     | VE | 6,113,225          | 09/05/00 | Miyata et al.     |       |              |                               |
|                     | VF | 5,262,659          | 11/16/93 | Grudkowski et al. |       |              |                               |
|                     | VG | 6,239,012 B1       | 05/29/01 | Kinsman           |       |              |                               |
|                     | VH | 6,297,598          | 10/02/01 | Wang et al.       |       |              |                               |
|                     | VI | 2002/140012        | 10/03/02 | Droopad           |       |              |                               |
|                     | VJ | 4,866,489          | 09/12/89 | Yokogawa et al.   |       |              |                               |
|                     | VK | 6,080,378          | 06/27/00 | Yokota et al.     |       |              |                               |
|                     | VL | 5,508,554          | 04/16/96 | Takatani et al.   |       |              |                               |
|                     | VM | 6,477,285 B1       | 11/05/02 | Shanley           |       |              |                               |
|                     | VN | 4,695,120          | 09/22/87 | Holder            |       |              |                               |
|                     | VO | 5,882,948          | 03/16/99 | Jewell            |       |              |                               |
|                     | VP | 5,574,589          | 11/12/96 | Feuer et al.      |       |              |                               |
|                     | VQ | 5,510,665          | 04/23/96 | Conley            |       |              |                               |
|                     | VR | 4,804,866          | 02/14/89 | Akiyama           |       |              |                               |
|                     | VS | 5,057,694          | 10/15/91 | Idaka et al.      |       |              |                               |
|                     | VT | 5,635,453          | 06/03/97 | Pique et al.      |       |              |                               |
|                     | VU | 5,719,417          | 02/17/98 | Roeder et al.     |       |              |                               |
|                     | VV | 5,998,819          | 12/07/99 | Yokoyama et al.   |       |              |                               |

Examiner

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|                     | VW | 2002/0079576       | 06/27/02 | Seshan               |       |              |                               |
|                     | VX | 5,148,504          | 09/15/92 | Levi et al.          |       |              |                               |
|                     | VY | 2002/0195610 A1    | 12/26/02 | Klosowiak            |       |              |                               |
|                     | VZ | 5,477,363          | 12/19/95 | Matsuda              |       |              |                               |
|                     | WA | 5,905,571          | 05/18/99 | Butler et al.        |       |              |                               |
|                     | WB | 5,570,226          | 10/29/96 | Ota                  |       |              |                               |
|                     | WC | 5,087,829          | 02/11/92 | Ishibashi et al.     |       |              |                               |
|                     | WD | 2001/0020278 A1    | 09/06/01 | Saito                |       |              |                               |
|                     | WE | 6,496,469 B1       | 12/17/02 | Uchizaki             |       |              |                               |
|                     | WF | 5,679,947          | 10/21/97 | Doi et al.           |       |              |                               |
|                     | WG | 2001/0036142 A1    | 11/01/01 | Kadowaki et al.      |       |              |                               |
|                     | WH | 5,446,719          | 08/29/95 | Yoshida et al.       |       |              |                               |
|                     | WI | 5,831,960          | 11/03/98 | Jiang et al.         |       |              |                               |
|                     | WJ | 5,693,140          | 12/02/97 | McKee et al.         |       |              |                               |
|                     | WK | 6,376,337 B1       | 04/23/02 | Wang et al.          |       |              |                               |
|                     | WL | 4,177,094          | 12/04/79 | Kroon                |       |              |                               |
|                     | WM | 5,216,359          | 06/01/93 | Makki et al.         |       |              |                               |
|                     | WN | 6,307,996 B1       | 10/23/01 | Nashimoto et al.     |       |              |                               |
|                     | WO | 5,371,621          | 12/06/94 | Stevens              |       |              |                               |
|                     | WP | 2002/0145168 A1    | 10/10/02 | Bojarczuk, Jr et al. |       |              |                               |
|                     | WQ | 3,617,951          | 11/02/71 | Anderson             |       |              |                               |
|                     | WR | 5,838,053          | 11/17/98 | Bevan et al.         |       |              |                               |
|                     | WS | 5,684,302          | 11/04/97 | Wersing et al.       |       |              |                               |
|                     | WT | 5,959,308          | 09/28/99 | Shichijo et al.      |       |              |                               |
|                     | WU | 5,362,972          | 11/08/94 | Yazawa et al.        |       |              |                               |
|                     | WV | 5,864,171          | 01/26/99 | Yamamoto et al.      |       |              |                               |
|                     | WW | 5,028,563          | 07/02/91 | Feit et al.          |       |              |                               |
|                     | WX | 5,937,115          | 08/10/99 | Domash               |       |              |                               |

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|                     | WY | 5,878,175          | 03/02/99 | Sonoda et al.   |       |              |                               |
|                     | WZ | 4,801,184          | 01/31/89 | Revelli         |       |              |                               |
|                     | XA | 5,140,387          | 08/18/92 | Okazaki et al.  |       |              |                               |
|                     | XB | 5,410,622          | 04/25/95 | Okada et al.    |       |              |                               |
|                     | XC | 6,064,783          | 05/16/00 | Congdon et al.  |       |              |                               |
|                     | XD | 5,772,758          | 06/30/98 | Collins et al.  |       |              |                               |
|                     | XE | 5,666,376          | 09/09/97 | Cheng           |       |              |                               |
|                     | XF | 5,976,953          | 11/02/99 | Zavracky et al. |       |              |                               |
|                     | XG | 5,578,162          | 11/26/96 | D'Asaro et al.  |       |              |                               |
|                     | XH | 5,585,167          | 12/17/96 | Satoh et al.    |       |              |                               |
|                     | XI | 5,674,813          | 10/07/97 | Nakamura et al. |       |              |                               |
|                     | XJ | 5,574,296          | 11/12/96 | Park et al.     |       |              |                               |
|                     | XK | 6,504,189          | 01/07/03 | Matsuda et al.  |       |              |                               |
|                     | XL | 5,987,196          | 11/16/99 | Noble           |       |              |                               |
|                     | XM |                    |          |                 |       |              |                               |
|                     | XN |                    |          |                 |       |              |                               |
|                     | XO |                    |          |                 |       |              |                               |
|                     | XP |                    |          |                 |       |              |                               |
|                     | XQ |                    |          |                 |       |              |                               |
|                     | XR |                    |          |                 |       |              |                               |
|                     | XS |                    |          |                 |       |              |                               |
|                     | XT |                    |          |                 |       |              |                               |
|                     | XU |                    |          |                 |       |              |                               |
|                     | XV |                    |          |                 |       |              |                               |
|                     | XW |                    |          |                 |       |              |                               |
|                     | XX |                    |          |                 |       |              |                               |
|                     | XY |                    |          |                 |       |              |                               |
|                     | XZ |                    |          |                 |       |              |                               |

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## FOREIGN PATENT DOCUMENTS

|  |     | DOCUMENT<br>NUMBER | DATE     | COUNTRY                  | TRANSLATION |    |
|--|-----|--------------------|----------|--------------------------|-------------|----|
|  |     |                    |          |                          | YES         | NO |
|  | CBC | EP 1 035 759       | 09-13-00 | Europe                   |             |    |
|  | CBD | EP 0 860 913       | 08-26-95 | EUROPE                   |             |    |
|  | CBE | 5-232307           | 09-10-93 | JAPAN W ENGLISH ABSTRACT |             |    |
|  | CBF | 5-243525           | 09-31-93 | JAPAN W ENGLISH ABSTRACT |             |    |
|  | CBG | 3-171617           | 07-25-91 | JAPAN W ENGLISH ABSTRACT |             |    |
|  | CBH | EP 1 089 338       | 04-04-01 | EUROPE                   |             |    |
|  | CBI | 01-294594          | 11-28-99 | JAPAN (ABSTRACT)         |             |    |
|  | CBJ | 05-221800          | 08/31/93 | JAPAN (ABSTRACT)         |             |    |
|  | CBK | 03-149882          | 11-07-89 | JAPAN                    |             |    |
|  | CBL | 0 614 256          | 09-07-94 | EUROPE                   |             |    |
|  | CBM | 1 054 442          | 11-22-00 | EUROPE                   |             |    |
|  | CBN | 0 852 416          | 07/08/98 | EUROPE                   |             |    |
|  | CBO | WO 02 08806        | 01-31-02 | WIPO                     |             |    |
|  | CBP | WO 01/59837        | 08-16-01 | WIPO                     |             |    |
|  | CBQ | 62-245205          | 10-26-87 | JAPAN W ENGLISH ABSTRACT |             |    |
|  | CBR | 0 600 658          | 06-08-94 | EUROPE                   |             |    |
|  | CBS | 0 412 002          | 02-06-91 | EUROPE                   |             |    |
|  | CBT | 2000-549278        | 12-15-00 | JAPAN (ENGLISH ABSTRACT) |             |    |
|  | CBU | 01-196809          | 08-08-89 | JAPAN (ENGLISH ABSTRACT) |             |    |
|  | CBV | 0 619 283          | 10/12/94 | EUROPE                   |             |    |
|  | CBW | 0 661 561          | 07-05-95 | EUROPE                   |             |    |
|  | CBX | 0 331 338          | 09-06-89 | EUROPE                   |             |    |
|  | CBY |                    |          |                          |             |    |
|  | CBZ |                    |          |                          |             |    |
|  | CCA |                    |          |                          |             |    |
|  | CCB |                    |          |                          |             |    |
|  | CCC |                    |          |                          |             |    |
|  | CCD |                    |          |                          |             |    |
|  | CCE |                    |          |                          |             |    |
|  | CCF |                    |          |                          |             |    |
|  | CCG |                    |          |                          |             |    |
|  | CCH |                    |          |                          |             |    |
|  | CCI |                    |          |                          |             |    |
|  | CCJ |                    |          |                          |             |    |
|  | CCK |                    |          |                          |             |    |
|  | CCL |                    |          |                          |             |    |
|  | CCM |                    |          |                          |             |    |
|  | CCN |                    |          |                          |             |    |
|  | CCO |                    |          |                          |             |    |
|  | CCP |                    |          |                          |             |    |

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## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

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| KKAP | Chyuan-Wei Chen et al.; "Liquid-phase epitaxial growth and characterization of InGaAsP layers grown on GaAsP substrates for application to orange light emitting diodes"; 931 Journal of Applied Physics; 77 (1995) 15 January, No. 2; Woodbury, NY, US; pp. 905-909 |
| KKAQ | W. Zhu et al.; "Oriented diamond films grown on nickel substrates"; 320 Applied Physics Letters; 63(1993) September, No. 12; Woodbury, NY, US; pp. 1640-1642   |
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